

# Private Sector and Nongovernmental Organizations Response Partner Guide

## Introduction

The term “private sector” refers to many distinct entities, including for-profit businesses (publicly-traded and privately-owned), trade associations and nongovernmental organizations (NGOs), not-for-profit enterprises, faith-based organizations and other private, voluntary organizations. While the *Framework* throughout distinguishes fundamentally between the public and private sectors, it also speaks more particularly to contributions of both businesses and the NGO community.

## I. Roles, Responsibilities and Structures

This section describes roles and responsibilities for private sector businesses and NGOs in domestic incident management.

**Businesses.** Businesses have an invaluable role to play during emergencies. First, they must provide for and protect their employees in the workplace. In addition, emergency managers must work seamlessly with businesses that provide water, power, communication networks, transportation, for-profit medical care, security and numerous other services upon which both emergency response and recovery are particularly dependent.

Participation of the private sector varies based on the nature of the organization and the nature of the incident. The five distinct roles that the private sector organizations play are summarized in Table 1.

**Table 1. Role of the Private Sector in Incident Management**

Category	Role in This Category
<b>Impacted Organization or Infrastructure</b>	Private sector organizations may be impacted by direct or indirect consequences of the incident. These include privately owned critical infrastructure, key resources and other private sector entities that are significant to local, regional and national economic recovery from the incident. Examples of privately owned infrastructure include transportation, telecommunications, private utilities, financial institutions and hospitals. Critical infrastructure and key resources (CI/KR) are grouped into 17 sectors that together provide essential functions and services supporting various aspects of the American government, economy and society.
<b>Regulated and/or Responsible Party</b>	Owners/operators of certain regulated facilities or hazardous operations may be legally responsible for preparing for and preventing incidents from occurring and responding to an incident once it occurs. For example, Federal regulations require owners/operators of nuclear powerplants to maintain emergency preparedness plans and facilities and to perform assessments, prompt notifications and training for a response to an incident.

Category	Role in This Category
<b>Response Resource</b>	Private sector entities provide response resources (donated or compensated) during an incident—including specialized teams, essential service <sup>1</sup> providers, equipment and advanced technologies—through local public-private emergency plans or mutual aid agreements, or in response to requests from government and private sector-volunteer initiatives.
<b>Partner With State/Local Emergency Organizations</b>	Private sector entities may serve as partners in local and State emergency preparedness and response organizations and activities.
<b>Components of the Nation's Economy</b>	As the key element of the national economy, private sector resilience and continuity of operations planning as well as recovery and restoration from an actual incident represent essential homeland security activities.

**Critical Infrastructure/Key Resources (CI/KR).** Critical infrastructure includes those assets, systems, networks and functions—physical or virtual—so vital to the United States that their incapacitation or destruction would have a debilitating impact on security, national economic security, public health or safety or any combination of those matters. Key resources are publicly or privately controlled resources essential to minimal operation of the economy and the government.<sup>2</sup>

**Much of the critical infrastructure of the nation is privately owned, and so businesses play an essential role in implementing plans for the rapid restoration of commercial activities and critical infrastructure operations in the event of disruption.** The protection of critical infrastructure and the ability rapidly to restore normal commercial activities can reduce the impact of a disaster or emergency, improve the quality of life of those affected and accelerate the pace of recovery for communities and the nation. The private sector in general, and NGOs in particular, contribute to response efforts through engaged partnerships with each level of government to assess potential threats, evaluate risk and take actions to mitigate threats.

The Department of Homeland Security (DHS) has developed a comprehensive *National Infrastructure Protection Plan (NIPP)* that is synchronized with the *National Response Framework*. The goal of the *NIPP* is to build a safer, more secure and more resilient America by enhancing protection of the nation's CI/KR to prevent, deter, neutralize or mitigate the effects of deliberate efforts by terrorists to destroy, incapacitate or exploit them; and to strengthen national preparedness, timely response and rapid recovery in the event of an attack, natural disaster or other emergency. Table 2 is a listing of CI/KR sectors and the agencies responsible for their welfare.

<sup>1</sup> Public Law 109-347 (Safe Port Act) Sec. 607. Essential Services Disaster Assistance.

<sup>2</sup> *National Infrastructure Protection Plan*, 2006, Glossary of Key Terms, is the source for the definitions of critical infrastructure and key resources. These definitions are derived from the provisions of the Homeland Security Act of 2002 and Homeland Security Presidential Directive (HSPD) 7.

**Table 2. CI/KR Sectors and Responsible Agencies**

<b>Critical Infrastructure/Key Resources Sector</b>	<b>Sector-Specific Agency</b>
Agriculture and Food	Department of Agriculture <sup>3</sup> Department of Health and Human Services <sup>4</sup>
Defense Industrial Base	Department of Defense <sup>5</sup>
Energy	Department of Energy <sup>6</sup>
Public Health and Healthcare	Department of Health and Human Services
National Monuments and Icons	Department of the Interior
Banking and Finance	Department of the Treasury
Drinking Water and Water Treatment Systems	Environmental Protection Agency
Chemical Commercial Facilities Dams Emergency Services Nuclear Reactors, Materials and Waste	Department of Homeland Security <i>Office of Infrastructure Protection</i>
Information Technology Telecommunications	<i>Office of Cyber Security and Telecommunications</i>
Postal and Shipping	<i>Transportation Security Administration</i>
Transportation Systems <sup>7</sup>	<i>Transportation Security Administration/U.S. Coast Guard<sup>8</sup></i>
Government Facilities	<i>Immigration and Customs Enforcement/Federal Protective Service</i>

The Critical Infrastructure and Key Resources Support Annex provides detailed guidance regarding incident response implementation of the *NIPP*, including roles and responsibilities, concept of operations and incident-related actions.

Together, government agencies and private sector businesses form a response partnership. This partnership begins at the grassroots level, depending on the local and State resources that are in place, to provide the backbone for disaster management. **During an incident, key private sector business partners should be involved in the local crisis decision-making process or at least have a direct link to key local emergency managers.** Communities cannot effectively respond to, or recover from, emergencies or disasters without strong cooperative relations with private sector businesses.

<sup>3</sup> USDA is responsible for agriculture and food (meat, poultry and egg products).

<sup>4</sup> HHS is responsible for food other than meat, poultry and egg products.

<sup>5</sup> Nothing in this plan impairs or otherwise affects the authority of the Secretary of Defense, including the chain of command for military forces from the President as Commander in Chief, to the Secretary of Defense, to the commander of military forces, or military command and control procedures.

<sup>6</sup> The Energy Sector includes the production, refining, storage and distribution of oil, gas and electric power, except for commercial nuclear power facilities.

<sup>7</sup> As stated in HSPD-7, the Department of Transportation (DOT) and DHS will collaborate on all matters relating to transportation security and transportation infrastructure protection.

<sup>8</sup> DHS/USCG is the Sector-Specific Agency for the maritime transportation mode.

Essential private sector business responsibilities include:

- Plan for the protection of their facilities, infrastructure and personnel.
- Plan for responding to and recovering from incidents that impact their own facilities and infrastructure.
- Work with emergency management personnel before an emergency occurs to ascertain what assistance may be necessary and how they can help.
- Develop and exercise emergency plans before an emergency occurs.
- Where appropriate, establish mutual assistance agreements to provide specific response capabilities.
- Provide assistance (including volunteers) to support broader community emergency management during an emergency and throughout the recovery process.

**Nongovernmental Organizations.** In the world of emergency management, NGOs play enormously important roles before, during and after an emergency. For example, NGOs provide mass sheltering, emergency food supplies, counseling services and other vital support services to promote the recovery of disaster victims. Oftentimes these groups provide specialized services that help individuals with disabilities.

A key feature of NGOs is their inherent independence and commitment to specific sets of interests and values. These interests and values drive the groups' operational priorities and shape the resources they provide. Such NGOs bolster and support government efforts at all levels – from community to State and Federal, for response operations and planning. When planning the allocation of the local community emergency management resources and structures, some community, State and Federal organizations have provided direct assistance to NGOs. These groups collaborate with first responders, governments at all levels and other agencies and organizations.

Examples of NGO and voluntary organization contributions include:

- Train and manage volunteer resources.
- Identify shelter locations and needed supplies.
- Provide critical emergency services to those in need, such as cleaning supplies, clothing, food and shelter or assistance with post-emergency cleanup.
- Identify those whose needs have not been met and help coordinate the provision of assistance.

**Some private sector organizations and NGOs are officially designated as support elements to national response capabilities.**

- ***The American Red Cross.*** The Red Cross is a supporting agency to the mass care functions of Emergency Support Function #6 to the *Framework*. It takes the lead in integrating the efforts of the national NGOs that provide mass care services during response operations.

- **National Voluntary Organizations Active in Disasters (NVOAD).** NVOAD is a consortium of more than 30 recognized national organizations active in disaster relief. Their organizations provide capabilities to support response efforts at all levels. During major incidents, NVOAD typically sends representatives to the DHS/Federal Emergency Management Agency's National Response Coordination Center (NRCC) to represent the voluntary organizations and assist in response coordination.
- **Citizen Corps.** In recent years, citizen groups have organized to assist public officials in responding to emergencies. Citizen Corps, administered by DHS, is a community-level program that brings government and private sector groups together and coordinates the emergency preparedness and response activities of community members. Through its network of community, tribal and State councils, Citizen Corps increases community preparedness and response capabilities through public education, outreach, training and volunteer service.

## II. Private Sector Actions

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### Pre-Incident Actions

The Federal Government encourages State, tribal and local governments to coordinate with voluntary agencies, existing VOADs, community and faith-based organizations, volunteer centers and other private sector entities to encourage them to participate in preparedness activities including planning, training and exercising.

The private sector components--both businesses and NGOs--represent key elements in awareness intelligence. They report suspicious activity, terrorist threats and actual incidents with potential or actual terrorist links to the appropriate local or State/tribal authorities (e.g., local or regional Joint Terrorism Task Force) and to the National Operations Center (NOC).

In responding to an incident where there has been no advance notice, NGOs and businesses invoke their own emergency plans to protect themselves, to ensure continuity of operations and to maintain or restore services should they be interrupted.

For incidents where there is warning, NGOs and businesses involved in incident response and recovery work with government officials at various levels (local, State/tribal, Federal) and other organizations to pre-position materials and teams and prepare to respond to incident needs.

### Response Activities

NGOs and businesses are key elements of specific national response capabilities. The American Red Cross, for example, is a key player in mass sheltering, and the American Humane Association and other animal welfare organizations help to care for pets and service animals when they are displaced.

Once an event has occurred, NGOs and other private sector elements join with government incident managers to implement the plans that have been jointly developed and to deliver essential assistance either on a voluntary basis or as compensated partners.



Representatives of private voluntary and faith-based organizations as well as other private sector elements send representatives to local, State/tribal and Federal emergency operations centers (EOCs) to act as liaisons and assist in incident response. In addition to providing their own specific goods and services, representatives also staff help lines and recommend courses of action.

When incidents are of such magnitude that a Joint Field Office (JFO) is established, NGOs and other private sector interests may participate in the JFO when appropriate.

***Coordinating communications.*** Effective public communication strategies are essential following an incident. Incident Command may elect to establish a Joint Information Center (JIC), which would be responsible for coordinating public information across community, tribal, State and Federal governments, as well as with the private sector. By developing media lists, contact information for relevant stakeholders and coordinated news releases, the JIC facilitates dissemination of accurate, consistent, accessible and timely public information to the various audiences.

## Recovery Actions

Restoration of private sector activities is important in terms of protecting the national, regional or local economy, but it is also key to facilitating emergency operations. Restoring private sector lifeline activities such as gasoline stations, for example, reduces the burden on governments. Bringing grocery and convenience stores back into operation after a hurricane enables the stores to get back in business and employees back to work selling essential items such as food, ice and water, replacing the need for governments to supply emergency commodities and freeing emergency workers to deal with other critical tasks.

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## III. Requesting and Providing Assistance

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Governments at all levels must work with private sector NGOs and businesses to establish a common set of expectations with regard to providing and requesting assistance. These expectations must be consistent with Federal, State, tribal and local roles, responsibilities and methods of operations. Once established, this set of expectations is widely disseminated, and all the parties train and exercise together so that the plans are thoroughly understood before an actual incident. These expectations are particularly important with respect to private sector organizations involved in critical infrastructure and key resources areas.

**Private sector organizations have great expertise in key areas and represent a rich source for best practices in incident response.**

Private sector organizations may also wish to consider entering into formal assistance agreements with governments or other private sector organizations to clarify the respective capabilities, roles and/or expectations of the parties involved in preparing for and responding to an incident. Private sector organizations have great expertise in key areas and represent a rich source for best practices in incident response.

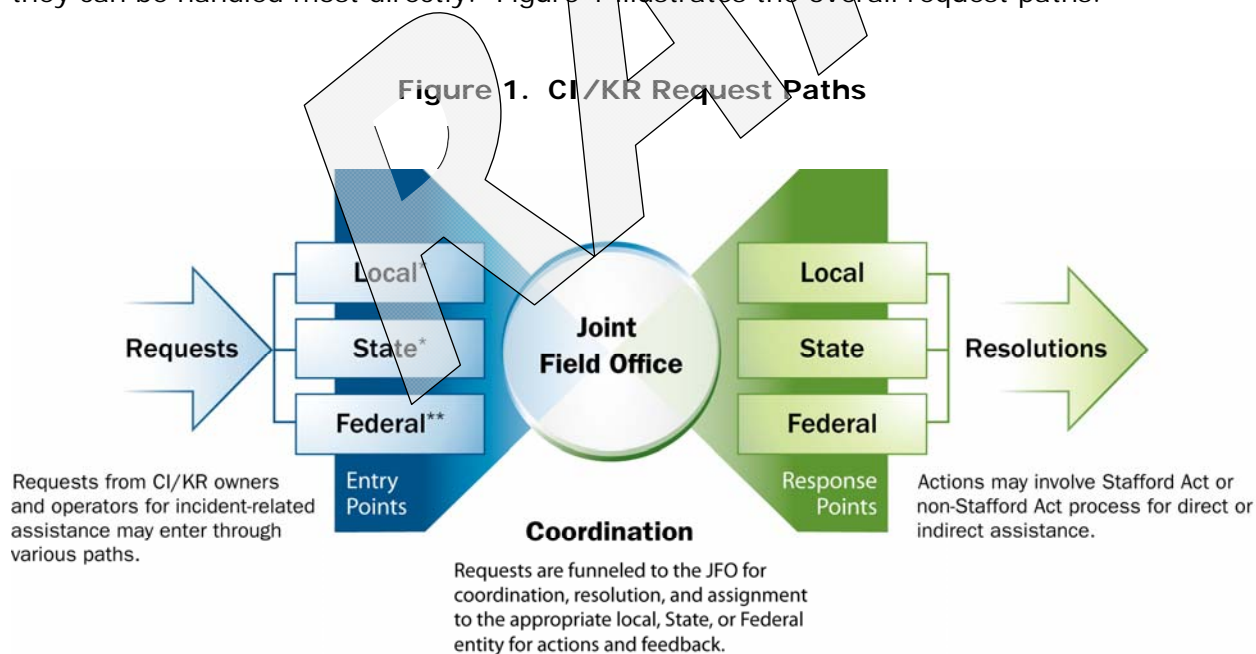
## Key Partners

The relationship among governments, private sector businesses and NGOs is one of engaged partnership. Private sector businesses and NGOs collaborate with first responders, governments at all levels and other agencies and organizations providing relief services to sustain life, reduce physical and emotional distress and promote recovery of disaster victims. Together they form a relationship that begins at the grassroots level, depending on the local and State resources, and provides the backbone for incident management and response.

**Humanitarian and volunteer organizations play particularly important roles because they frequently provide support that is not available under government authorities.**

## Requests for Assistance

Requests for assistance that come from businesses and NGOs typically follow the same processes that apply to incident management in general. Requests are made to the emergency response coordination element at the appropriate level of government where they can be handled most directly. Figure 1 illustrates the overall request paths.



\* Local and State levels provide primary entry points for incident-related requests from CI/KR owners and operators.

\*\* Federal-level entry points may be available to CI/KR owners and operators based on established relations with ESFs, SSAs, or other Federal departments and agencies with regulatory or statutory responsibilities. The National Infrastructure Coordinating Center (NICC) provides the national-level entry point for CI/KR owners and operators without established or identifiable local-, State-, or Federal-level points of contact.

Protecting CI/KR and restoring essential services may require assistance from regional or Federal organizations. Requests for assistance from CI/KR entities for incident-related requirements can be addressed through direct actions by owners and operators or with government assistance provided by Federal, State, tribal or local authorities in certain specific circumstances. These requests must be directed to the appropriate Federal, State, tribal and/or local decision-makers who have the authority to consider and adjudicate requirements in the context of competing priorities.

At the State, tribal or local level, requests for assistance from CI/KR owners and operators typically will be acted upon within multiagency coordination centers in the affected area, such as the State or local EOC.

At the Federal level, requests may be addressed through the existing authorities of Federal departments or agencies or through application of the Stafford Act. The JFO, when activated, is the Federal focal point at the field level for considering, adjudicating and acting upon requests for assistance. In cases where a JFO has not been established, the NRCC provides the national-level forum for decisions and actions relating to the Federal assistance or resource support.

For major events when the Federal Government is involved, the deliberative, unified leadership provided by the JFO, the NOC or the Domestic Readiness Group examines requirements and works with private sector officials to establish priorities and ensure that these requirements are addressed appropriately in incident action plans.

## **Volunteers and Donations**

Responding to disasters and emergencies frequently exceeds the resources of government organizations. Volunteers and donations can support incident response efforts in many ways, and it is essential that governments at all levels plan ahead for incorporation of volunteers and donated goods into their response processes.

The Volunteer and Donations Management Support Annex provides detailed guidance from a national standpoint, and State and local planners should include similar volunteer and donations management provisions in their emergency operations plans.

For major incidents in which foreign governments, individuals or organizations wish to make donations, the U.S. Department of State is responsible for managing such donations. Detailed guidance regarding the process for managing international donations is provided in the International Coordination Support Annex.<sup>9</sup>

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<sup>9</sup> The *Framework's* Support Annexes are available at the **NRF Resource Center**, <http://www.fema.gov/NRF>.